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PATENT  
Attorney Docket No.: SONY-12302

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kevin K. Lym et al.

Serial No.: 10/607,071

Filed: June 25, 2003

For: **APPLICATION PROGRAMMING  
INTERFACE FOR DATA  
TRANSFER AND BUS  
MANAGEMENT OVER A BUS  
STRUCTURE**

Group Art Unit: 2112

Examiner: Vo, Tim T.

**TRANSMITTAL LETTER**

162 N. Wolfe Road  
Sunnyvale, California 94086  
(408) 530-9700

Customer No. 28960

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find an Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, and a check in the amount of \$180.00 for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: June 1, 2004

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 6/1/04 By: [Signature] - 1 -



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) **INFORMATION DISCLOSURE**  
) **STATEMENT**

) 162 N. Wolfe Road  
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) (408) 530-9700

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Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 3,836,722;
- U.S. Patent No. 3,889,236;
- U.S. Patent No. 3,906,484;
- U.S. Patent No. 4,218,756;
- U.S. Patent No. 4,379,294;
- U.S. Patent No. 4,395,710;
- U.S. Patent No. 4,409,656;

- U.S. Patent No. 4,493,021;
- U.S. Patent No. 4,633,392;
- U.S. Patent No. 4,641,238;
- U.S. Patent No. 4,641,307;
- U.S. Patent No. 4,739,323;
- U.S. Patent No. 4,857,910;
- U.S. Patent No. 4,897,783;
- U.S. Patent No. 4,972,470;
- U.S. Patent No. 4,998,245;
- U.S. Patent No. 5,008,879;
- U.S. Patent No. 5,117,070;
- U.S. Patent No. 5,128,677;
- U.S. Patent No. 5,191,418;
- U.S. Patent No. 5,276,684;
- U.S. Patent No. 5,301,287;
- U.S. Patent No. 5,325,510;
- U.S. Patent No. 5,343,469;
- U.S. Patent No. 5,359,713;
- U.S. Patent No. 5,361,261;
- U.S. Patent No. 5,369,773;
- U.S. Patent No. 5,400,340;
- U.S. Patent No. 5,402,419;
- U.S. Patent No. 5,412,698;
- U.S. Patent No. 5,420,573;
- U.S. Patent No. 5,444,709;
- U.S. Patent No. 5,465,402;
- U.S. Patent No. 5,487,153;
- U.S. Patent No. 5,493,570;
- U.S. Patent No. 5,497,466;
- U.S. Patent No. 5,499,344;
- U.S. Patent No. 5,504,757;
- U.S. Patent No. 5,506,846;

- U.S. Patent No. 5,509,126;
- U.S. Patent No. 5,517,662;
- U.S. Patent No. 5,519,701;
- U.S. Patent No. 5,524,213;
- U.S. Patent No. 5,526,353;
- U.S. Patent No. 5,533,018;
- U.S. Patent No. 5,535,208;
- U.S. Patent No. 5,537,408;
- U.S. Patent No. 5,544,324;
- U.S. Patent No. 5,546,389;
- U.S. Patent No. 5,546,553;
- U.S. Patent No. 5,548,587;
- U.S. Patent No. 5,550,802;
- U.S. Patent No. 5,557,724;
- U.S. Patent No. 5,559,796;
- U.S. Patent No. 5,559,967;
- U.S. Patent No. 5,566,174;
- U.S. Patent No. 5,586,264;
- U.S. Patent No. 5,594,732;
- U.S. Patent No. 5,594,734;
- U.S. Patent No. 5,602,853;
- U.S. Patent No. 5,603,058;
- U.S. Patent No. 5,615,382;
- U.S. Patent No. 5,617,419;
- U.S. Patent No. 5,619,646;
- U.S. Patent No. 5,632,016;
- U.S. Patent No. 5,640,392;
- U.S. Patent No. 5,640,592;
- U.S. Patent No. 5,646,941;
- U.S. Patent No. 5,647,057;
- U.S. Patent No. 5,652,584;
- U.S. Patent No. 5,655,138;

- U.S. Patent No. 5,659,780;
- U.S. Patent No. 5,664,124;
- U.S. Patent No. 5,668,948;
- U.S. Patent No. 5,684,954;
- U.S. Patent No. 5,687,174;
- U.S. Patent No. 5,687,316;
- U.S. Patent No. 5,689,244;
- U.S. Patent No. 5,689,727;
- U.S. Patent No. 5,692,211;
- U.S. Patent No. 5,694,555;
- U.S. Patent No. 5,696,924;
- U.S. Patent No. 5,704,052;
- U.S. Patent No. 5,706,439;
- U.S. Patent No. 5,708,779;
- U.S. Patent No. 5,710,773;
- U.S. Patent No. 5,719,942;
- U.S. Patent No. 5,752,076;
- U.S. Patent No. 5,758,075;
- U.S. Patent No. 5,761,430;
- U.S. Patent No. 5,761,457;
- U.S. Patent No. 5,774,683;
- U.S. Patent No. 5,781,599;
- U.S. Patent No. 5,787,298;
- U.S. Patent No. 5,793,953;
- U.S. Patent No. 5,809,249;
- U.S. Patent No. 5,812,883;
- U.S. Patent No. 5,815,678;
- U.S. Patent No. 5,828,416;
- U.S. Patent No. 5,828,903;
- U.S. Patent No. 5,832,245;
- U.S. Patent No. 5,835,726;
- U.S. Patent No. 5,835,793;

- U.S. Patent No. 5,848,253;
- U.S. Patent No. 5,872,983;
- U.S. Patent No. 5,875,312;
- U.S. Patent No. 5,884,103;
- U.S. Patent No. 5,887,145;
- U.S. Patent No. 5,938,752;
- U.S. Patent No. 5,946,298;
- U.S. Patent No. 5,970,236;
- U.S. Patent No. 5,987,126;
- U.S. Patent No. 5,991,520;
- U.S. Patent No. 6,085,270;
- U.S. Patent No. 6,243,783;
- U.S. Patent No. 6,631,435;
- European Patent No. 0 267 974 A1;
- European Patent No. 0 428 111 A2;
- European Patent No. 0 499 394 A1;
- European Patent No. 0 578 013 A1;
- European Patent No. 0 588 046 A1;
- European Patent No. 0 651 329 A2;
- European Patent No. 0 696 853 A2;
- Great Britain Publication 2 275 852;
- "The Parallel Protocol Engine," Matthias Kaiserswerth, IEEE/ACM Transactions on Networking, December 1993, New York, pp. 650-663;
- "The Programmable Protocol VLSI Engine (PROVE)," A.S. Krishnakumar, W.C. Fischer, and Krishan Sabnani, IEEE Transactions on Communications, August 1994, New York, pp. 2630-2642;
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- "The IEEE-1394 High Speed Serial Bus," R.H.J. Bloks, Philips Journal of Research, Vol 50., No.1/2, pp. 209-216, 1996;
- "IEEE 1394-1995 Triple Cable Transceiver/Arbiter," Texas Instruments TSB21LV03, Product Review, Revision 0.99, March 19, 1996;
- "P1394 Standard for A High Performance Serial Bus," IEEE, 1995;
- "Data link driver program design for the IBM token ring network PC adapter," Gee-Swee Poo and Wilson Ang. Computer Communications, vol. 12, no. 5, pp. 266-272, October 1989;
- "Fiber Channel(FCS)/ATM interworking: A design solution," A. Anzaloni et al., ERICSSON FATME R&D Division, Rome, I, Globecom '93, vol 2, pp. 1127-1133, November 29, 1993;
- "The SerialSoft IEEE 1394 Developer Toolkit," Toolkit Tk-01, Release 2, Skipstone, Inc.;
- "(Part 1 of 3) Local Area Network Protocol for Autonomous Control of Attached Devices," Software Patent Institute Database of Software Technologies, IBM, July, 1990;
- "(Part 1 of 4) Architecture for High Performance Transparent Bridges," Software Patent Institute Database of Software Technologies, IBM, July 1992;
- "Access to High-Speed LAN via Wireless Media," Software Patent Institute Database of Software Technologies, IBM, April 1993;
- "Asynchronous Transfer Mode," Julia L. Heeter, December 12, 1995;
- "Data Exchange Adapter for Micro Channel/370," Software Patent Institute Database of Software Technologies, October 1991;
- "PC Intern 4 Systemprogrammierung," Michael Tischer, pages 162-181, Data Becker GmbH, 1994, Dusseldorf, Germany;
- "Digital Interface for Consumer Audio/Video Equipment - Part 5: SDL-DVCR Data Transmission," International Electrotechnical Commission, FORM 9 (IEC), January 2, 1997; and
- "IEEE 1394, The Cable Connection to Complete the Digital Revolution," Daniel Moore.

This Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: June 1, 2004

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

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HAVERSTOCK & OWENS LLP

Date: 6-1-04

By: [Signature]





FORM PTO-1449  
(Modified)

U.S. Department of Commerce  
Patent and Trademark Office

Attorney Docket No.: SONY-12302

Serial No.: 10/607,071

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
(Use Several Sheets If Necessary)

Applicant: Kevin K. Lym et al.

(37 CFR § 1.98(b))

Filing Date: June 25, 2003

Group Art Unit: 2112

**U.S. PATENT DOCUMENTS**

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date
	AA	3,836,722	09/17/74	Muller et al.	179	15 BS	04/17/73
	AB	3,889,236	06/10/75	Herger et al.	340	172.5	10/9/73
	AC	3,906,484	09/16/75	Melvin, Jr. et al.	340	347 DD	09/13/72
	AD	4,218,756	08/19/80	Fraser	364	900	06/19/78
	AE	4,379,294	04/05/83	Sutherland et al.	340	825.5	02/12/81
	AF	4,395,710	07/26/83	Einolf, Jr. et al.	340	825.5	11/26/80
	AG	4,409,656	10/11/83	Andersen et al.	364	200	12/21/81
	AH	4,493,021	01/08/85	Agrawal et al.	364	200	04/03/81
	AI	4,633,392	12/30/86	Vincent et al.	364	200	04/22/85
	AJ	4,641,238	02/03/87	Kneib	364	200	12/10/84
	AK	4,641,307	02/03/87	Russell	340	825.5	05/22/86
	AL	4,739,323	04/19/88	Miesterfeld et al.	340	825.5	05/22/86
	AM	4,857,910	08/15/89	Baunach	340	799	12/19/83
	AN	4,897,783	01/30/90	Nay	364	200	06/27/86
	AO	4,972,470	11/20/90	Farago	380	3	08/08/87
	AP	4,998,245	03/05/91	Tanaka et al.	370	85.100	12/12/88
	AQ	5,008,879	04/16/91	Fischer et al.	370	85.2	11/14/88
	AR	5,117,070	05/26/92	Ueno et al.	178	2 R	10/09/90
	AS	5,128,677	07/07/92	Donovan et al.	341	177	09/15/89
	AT	5,191,418	03/02/93	Tran	358	142	02/20/91
	AU	5,276,684	01/04/94	Pearson	370	94.1	07/22/91
	AV	5,301,287	04/05/94	Herrell et al.	395	400	02/16/93
	AW	5,325,510	06/28/94	Frazier	395	425	07/15/93
	AX	5,343,469	08/30/94	Ohshima	370	85.1	06/11/91
	AY	5,359,713	10/25/94	Moran et al.	395	200	03/11/93
	AZ	5,361,261	11/01/94	Edem et al.	370	85.3	11/02/92
	BA	5,369,773	11/29/94	Hammerstrom	395	800	04/26/91
	BB	5,400,340	03/21/95	Hillman et al.	370	105.3	03/04/93
	BC	5,402,419	03/28/95	Osakabe et al.	370	85.1	12/17/93
	BD	5,412,698	05/02/95	Van Brunt et al.	375	373	03/16/93
	BE	5,420,573	05/30/95	Tanaka et al.	340	825.24	08/31/94
	BF	5,444,709	08/22/95	Riddle	370	94.1	09/30/93
	BG	5,465,402	11/07/95	Ono et al.	455	161.2	03/23/94
	BH	5,487,153	01/23/96	Hammerstrom et al.	395	250	06/24/94
	BI	5,493,570	02/20/96	Hillman et al.	370	105.3	05/15/95

Examiner:

Date Considered:

**EXAMINER:** Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark Office

Attorney Docket No.: SONY-12302

Serial No.: 10/607,071

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Applicant: Kevin K. Lym et al.

(37 CFR § 1.98(b))

Filing Date: June 25, 2003

Group Art Unit: 2112

## U.S. PATENT DOCUMENTS

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date
	BJ	5,497,466	03/05/96	Roden et al.	395	306	03/17/94
	BK	5,499,344	03/12/96	Elnashar et al.	395	250	10/07/92
	BL	5,504,757	04/02/96	Cook et al.	370	84	09/27/94
	BM	5,506,846	04/09/96	Edem et al.	370	94.2	04/12/94
	BN	5,509,126	04/16/96	Opreescu et al.	395	307	03/16/93
	BO	5,517,662	05/14/96	Coleman et al.	395	800	11/08/94
	BP	5,519,701	05/21/96	Colmant et al.	370	60.1	03/29/95
	BQ	5,524,213	06/04/96	Dais et al.	395	200.170	01/25/95
	BR	5,526,353	06/11/96	Henley et al.	370	60.1	12/20/94
	BS	5,533,018	07/02/96	DeJager et al.	370	60.1	12/21/94
	BT	5,535,208	07/09/96	Kawakami et al.	370	84	03/07/95
	BU	5,537,408	07/16/96	Branstad et al.	370	79	06/05/95
	BV	5,544,324	08/06/96	Edem et al.	395	200.17	11/02/92
	BW	5,546,389	08/13/96	Wippenbeck et al.	370	60	07/12/94
	BX	5,546,553	08/13/96	Robertson et al.	395	405	12/15/94
	BY	5,548,587	08/20/96	Bailey et al.	370	60.1	09/12/94
	BZ	5,550,802	08/27/96	Worsley et al.	370	13	02/07/95
	CA	5,557,724	09/17/96	Sampat et al.	395	157	10/12/93
	CB	5,559,796	09/24/96	Edem et al.	370	60	02/28/95
	CC	5,559,967	09/24/96	Opreescu et al.	395	285	03/18/93
	CD	5,566,174	10/15/96	Sato et al.	370	84	09/07/94
	CE	5,586,264	12/17/96	Belknap et al.	395	200.08	09/08/94
	CF	5,594,732	01/14/97	Bell et al.	370	401	03/03/95
	CG	5,594,734	01/14/97	Worsley et al.	370	395	11/01/93
	CH	5,602,853	02/11/97	Ben-Michael et al.	370	474	11/03/94
	CI	5,603,058	02/11/97	Belknap et al.	395	855	09/08/94
	CJ	5,615,382	03/25/97	Gavin et al.	395	800	06/06/95
	CK	5,617,419	04/01/97	Christensen et al.	370	471	09/20/94
	CL	5,619,646	04/08/97	Hoch et al.	395	200.01	09/27/94
	CM	5,632,016	05/20/97	Hoch et al.	395	200.02	09/27/94
	CN	5,640,392	06/17/97	Hayashi	370	395	07/07/95
	CO	5,640,592	06/17/97	Rao	710	5	09/30/94
	CP	5,646,941	07/08/97	Nishimura et al.	370	389	05/26/95
	CQ	5,647,057	07/08/97	Roden et al.	395	275	09/09/94
	CR	5,652,584	07/29/97	Yoon	341	89	11/29/95

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	CS	5,655,138	08/05/97	Kikinis	395	808	04/11/95
	CT	5,659,780	08/19/97	Wu	395	800.19	06/15/94
	CU	5,664,124	09/02/97	Katz et al.	395	309	09/02/97
	CV	5,668,948	09/16/97	Belknap et al.	395	200.61	09/08/94
	CW	5,684,954	11/04/97	Kaiserswerth et al.	395	200.2	03/20/93
	CX	5,687,174	11/11/97	Edem et al.	370	446	04/26/95
	CY	5,687,316	11/11/97	Graziano et al.	395	200.2	07/29/94
	CZ	5,689,244	11/18/97	Iijima et al.	340	825.07	11/18/97
	DA	5,689,727	11/18/97	Bonke et al.	395	840	05/08/95
	DB	5,692,211	11/25/97	Gulick et al.	395	800	09/11/95
	DC	5,694,555	12/02/97	Morriss et al.	395	280	03/19/96
	DD	5,696,924	12/09/97	Robertson et al.	395	412	06/07/95
	DE	5,704,052	12/30/97	Wu et al.	395	380	04/22/96
	DF	5,706,439	01/06/98	Parker	395	200.17	09/27/94
	DG	5,708,779	01/13/98	Graziano et al.	395	200.8	01/13/98
	DH	5,710,773	01/20/98	Shiga et al.	370	512	07/14/95
	DI	5,719,942	02/17/98	Aldred et al.	380	49	03/21/95
	DJ	5,752,076	05/12/98	Munson	395	825	08/31/95
	DK	5,758,075	05/26/98	Graziano et al.	395	200.8	09/24/96
	DL	5,761,430	06/02/98	Gross et al.	395	200.55	04/12/96
	DM	5,761,457	06/02/98	Gulick	395	308	10/21/96
	DN	5,774,683	06/30/98	Gulick	395	309	10/21/96
	DO	5,781,599	07/14/98	Shiga	375	376	09/06/95
	DP	5,787,298	07/28/98	Broedner et al.	395	750.05	08/18/95
	DQ	5,793,953	08/11/98	Yeung et al.	395	200.8	07/07/95
	DR	5,809,249	09/15/98	Julyan	395	200.53	03/01/96
	DS	5,812,883	09/22/98	Rao	395	8.94	11/22/95
	DT	5,815,678	09/29/98	Hoffman et al.	395	309	07/14/95
	DU	5,828,416	10/27/86	Ryan	348	512	03/29/96
	DV	5,828,903	10/27/98	Sethuram et al.	395	817	11/19/96
	DW	5,832,245	11/03/98	Gulick	395	309	10/21/96
	DX	5,835,726	11/10/98	Shwed et al.	709	229	06/17/96
	DY	5,835,793	11/10/98	Li et al.	395	898	05/02/97
	DZ	5,848,253	12/08/98	Walsh et al.	395	309	01/22/97
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	EB	5,875,312	02/23/99	Walsh et al.	395	309	12/03/96

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(37 CFR § 1.98(b))				Filing Date: June 25, 2003		Group Art Unit: 2112

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	EC	5,884,103	Terho et al.	710	72	04/18/96
	ED	5,887,145	Harari, et al.	395	282	01/09/97
	EE	5,938,752	Leung et al.	710	126	05/20/97
	EF	5,946,298	Okuyama	370	232	04/05/96
	EG	5,970,236	Galloway et al.	395	500.44	11/14/95
	EH	5,987,126	Okuyama et al.	380	5	03/13/98
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